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ORIGINAL

Program Solicitation

**POLICY RELATED STUDIES ON
SCIENCE AND TECHNOLOGY
FOR DEVELOPMENT**

Closing Date: December 30, 1977



NATIONAL SCIENCE FOUNDATION
Directorate for Scientific,
Technological, and International Affairs
Division of International Programs

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This Program Solicitation is issued pursuant to the authority of the National Science Foundation Act of 1950, as amended (42 U.S.C. 1861 et. seq.) for the purpose of supporting scientific research or related activities. As such, the solicitation is not issued pursuant to the Federal Procurement Regulations.

POLICY RELATED STUDIES ON SCIENCE AND TECHNOLOGY FOR DEVELOPMENT

**Division of International Programs (INT)
Directorate for Scientific and Technological Affairs (STIA)
National Science Foundation**

SUMMARY

The United Nations Conference on Science and Technology for Development (UNCSTD) is scheduled to be convened in August 1979. In support of the Department of State and the U.S. Delegation, the Division of International Programs (INT), National Science Foundation (NSF), intends to provide up to \$400,000 to \$500,000 for studies related to conference agenda items. Individual study projects will each consist of: (1) the preparation of a Study Paper(s) analyzing issues and identifying options related to UNCSTD agenda items; (2) the conduct of a small workshop at which the Study Paper(s) will be discussed and reviewed by peers; and (3) the preparation of a final manuscript of the Study Paper(s) in a format suitable for publication. Projects should aim at integrating existing knowledge and experience rather than original research.

Proposals are invited from academic institutions, nonprofit institutions, for profit organizations or combinations of such institutions. NSF expects to make approximately 15 to 20 awards, the exact number depending on the quality of the proposals received.

Proposals must be received by the Central Processing Section of the National Science Foundation by 5:00 p.m. EST, December 30, 1977. Awards will be in the form of grants or contracts as appropriate. Project starting dates will be approximately 45 days later. Study Papers must be delivered to the National Science Foundation, Division of International Programs, on or before June 1, 1978. Final manuscripts in the prescribed format will be due September 1, 1978, the final reporting date for all projects under this solicitation. Requests for additional support or continuation of awards made under this solicitation will not be considered.

PROGRAM OBJECTIVE

Projects supported under this solicitation should contribute directly to U.S. preparation for the UNCSTD. The anticipated contribution is two-fold: (1) the production of Study Papers for use by the U.S. delegation to UNCSTD that address issues and options related to conference agenda items and (2) the promotion and improvement of consensus or clarification of important differences on these issues.

It is not intended that projects should undertake collections of new data. Making use of existing information and data collections, project directors should identify and assess the issues and options.

Preliminary draft study paper(s) will be due 3½ months after awards become effective. Twenty-five copies should be submitted. Late delivery of Study Papers to INT will greatly diminish their usefulness.

Following the submission of the Study Paper(s), a workshop involving a small number of persons (approximately 10 to 20 persons) who are professionally recognized peers in the subject area(s) is to be convened by the project director.

At this workshop the Study Paper(s) which have been distributed in advance will be discussed. From inputs obtained from this workshop, the original draft study will be either revised or supplemented with additional information. The final manuscript and 100 copies will be prepared in the format prescribed in Appendix C and delivered to NSF. Final manuscripts will be made available by NSF to the public through the National Technical Information Service (NTIS). Other publication is encouraged.

Study projects supported under this program solicitation should relate to UNCSTD agenda items. This agenda, as specified in Council Resolution 2028 (LXI), includes the following

three items:

"(1) Science and Technology for development:

- (a) The choice and transfer of technology for development;
- (b) Elimination of obstacles to the better utilization of knowledge and capabilities in science and technology for development of all countries, particularly for their use in developing countries;
- (c) Methods of integrating science and technology in economic and social developments;
- (d) New science and technology for overcoming obstacles to development;

"(2) Institutional arrangements and new forms of international cooperation in the application of science and technology:

- (a) Building up and expanding institutional systems in developing countries for science and technology;
- (b) Research and development in the industrialized countries in problems of importance to developing countries;
- (c) Mechanisms for exchange of scientific and technological information on experiences significant to development;
- (d) Strengthening of international cooperation among all countries and the design of concrete new forms of international cooperation in the field of science and technology for development;
- (e) Promotion of cooperation among developing countries and role of developed countries in such cooperation;

"(3) Utilization of the existing United Nations system and other international organizations:

Utilization of the existing United Nations system and other international organizations to implement the above goals in a coordinated and integrated manner."

PROBLEM AREAS AND ISSUES

On the basis of these agenda items, the six foci for studies that are given below have been identified. Individual studies should relate to one

or more of these principal foci. The focus that has been selected should be made explicit on the cover page of proposals and subsequent material in order to facilitate both the review of proposals and the utilization of study results.

The lists of issues given below are suggestive and not exhaustive; studies on other issues related to UNCSTD agenda items will be considered for support.

TOPIC 1. Relationship Between S&T and Development

From existing studies and past experience, to what extent is the social and economic development of LDCs dependent upon their science and technology base as compared with other factors?

TOPIC 2. Obstacles/Opportunities

2.1 What seem to be the major obstacles in utilizing indigenous science and technology in economic and social development in LDCs? What seem to be the major obstacles to technology transfer to developing countries? How can these obstacles be overcome?

2.2 In what ways can we more accurately predict and ameliorate the potential adverse environmental consequences of development activities in those LDCs that are concerned about environmental impacts? What importance should be assigned to identifying or developing technologies for adaptation in LDCs with less potential for pollution and environmental degradation?

TOPIC 3. Flow and Utilization of S&T

3.1 What contribution has the indigenous science and technology community in the more advanced LDCs made to industrial and agricultural development?

3.2 How can advanced countries share scientific knowledge and technology with LDCs to deal with basic human needs—public health, transportation, education, nutrition, and productive employment?

3.3 What has been the impact of LDC science and technology base on their industry? What is the relation between indigenous science and technology and foreign industrial efforts with LDCs?

TOPIC 4. LDC Infrastructures

4.1 What are the essential components of the infrastructure necessary to the growth/maintenance of LDC indigenous capabilities in science and technology, including research and development? Which LDCs have had particular success in developing that infrastructure, and are there elements of their experience applicable to other countries?

4.2 What measures have or can be taken in developing countries to provide the training and skills to choose, operate or adapt new technology, and in what ways can the advanced countries help? What measures have been taken to identify appropriate technologies and with what effect?

4.3 What kind of institutions in LDCs provide the infrastructure needed for development or transfer of knowledge and technology? What functions must such institutions perform to be successful? How can advanced countries expedite the development of such institutions and their capabilities?

4.4 What institutional arrangements or practices can be encouraged to relate the interest and capabilities of the LDCs science and technology community to those of the commercial, industrial, agricultural, educational and governmental communities?

TOPIC 5. Developed Country Contributions

5.1 What technologies are now available in the U.S. public domain which can be adapted to the needs of developing countries and how can this be done efficiently? How can LDC access to and use of such technologies be improved?

5.2 What have been the effective and efficient roles and activities of developed country institutions (government and nongovernment) in strengthening LDC science and technology infrastructures? Are there successful experiences with lessons for other countries?

5.3 What mechanisms or methodologies exist or can be developed to aid in the adaptation of transferred technologies to the socio-economic-cultural environment of the receiving LDCs?

5.4 In what ways have or can technical assistance contribute efficiently to the transfer and adaptation of public sector technologies?

TOPIC 6. International Structures

6.1 How can the organizations of the U.N. system be more supportive and complementary in their respective roles of mobilizing science and technology for development of the LDCs?

6.2 How can other international organizations (government and nongovernment) play a greater role in mobilizing the science and technology capabilities of LDCs for development?

6.3 How can regional institutions play a significant role in expediting technology transfer activities through such activities as education and training, dissemination of information, and making available needed expertise?

GENERAL INFORMATION

Number, duration and type of award: Approximately 15 to 20 awards may be made for studies to be conducted for a period not to exceed 7 months. Copies of a progress report and an initial survey of available information will be due April 1, 1978 and a draft Study Paper June 1, 1978. Final reports are due September 1, 1978.

There is no commitment to make any specific number of awards, however, and the exact number will depend upon the quality of the proposals submitted. Cost-sharing or fees may be negotiated as appropriate. Awards will be in the form of NSF grants unless a fee is appropriate, in which case a contract will be negotiated. Awards may provide for full costs if appropriate.

Starting dates of awards: Government financed work should not begin before there is an approved award by the Grants Officer or Contract Officer. Recovery of costs incurred before the effective date is seldom authorized. In view of the compacted scheduling inherent in the proposed projects, NSF will, to the extent compatible with its proposal review and processing responsibilities, endeavor to assist in the maintenance of the intended time frames.

Who may submit proposals: Proposals are invited from nonprofit and for profit organizations or combinations of such organizations.

Proposal due date: Proposals must be received by the Central Processing Section of the National Science Foundation by 5:00 p.m. EST on December 30, 1977, in order to be considered. Proposals will be considered firm until March 30, 1978.

Proposals and/or modifications thereof, which are received after 5:00 p.m. on the date indicated above, are late proposals. Late proposals will not be considered unless the Foundation determines that such action would not unduly delay awards and would be in the best interests of the Government. Normally, only late modifications lower in cost or offering other more favorable factors which do not require a technical reevaluation will be considered. The Foundation's decision is final and conclusive. Except as otherwise expressly stated in the modification, a late modification, if rejected, will not disqualify an offeror's timely proposal.

Report schedule: A progress report will be required on April 1, 1978, and a draft Study Paper on June 1, 1979. The final report in the format given in Appendix 3 plus 100 copies will be required by September 1, 1979. All reports should be submitted to the NSF Division of International Programs.

Mailing information: Formal proposals, in 10 copies, should be addressed or delivered to:

Central Processing Section, Room 223
National Science Foundation
1800 G Street, N.W.
Washington, D.C. 20550

Attention: UNCSTD Solicitation
INT-STIA Topic Number(s): _____

Proposals should be fastened in the upper left-hand corner. Please do not use covers or binders, and do not include any extraneous material.

Return postcards are printed on the back cover of this Solicitation. To facilitate prompt acknowledgment of the proposal package at its destination, two of the postcards should be addressed and attached to a copy of the proposal. The proposal number assigned by the Foundation will be used in correspondence to identify the proposal. If an acknowledgment card with the proposal number endorsed upon it is not received within 2 weeks of the closing date, the submitting organization should promptly telephone to request a tracer (Mrs. Lucas, Central Processing, 202-632-4120).

First time applicants: If your organization has never received an NSF award, or has not received one within the past 2 years, it is important that:

a. Its officials become familiar with the contents of the *NSF Grant Policy Manual*, NSF 77-47, a compendium of policies and procedures

applicable to administration of NSF grants. Knowledge of its contents is a necessity for managing NSF grants, and it may be obtained by direct subscription with the Superintendent of Documents, Government Printing Office, Washington, D.C. 20402 at \$12.00 domestic and \$15.00 foreign. The *Manual* must be ordered through the NSF 77-47 designation, and it is in looseleaf format. Periodic updating through supplements are only available through a GPO subscription. Although applicable to grants the *Manual* contains informative guidelines generally applicable to other type NSF awards.

b. Your organization must submit basic information regarding structure and management as outlined in Appendix D. This data should be submitted directly and separately about the same time you submit your first formal proposal, to NSF Division of Grants and Contracts, Attn. SEA/STIA Branch, Room 201, 1800 G St. N.W., Washington, D.C. 20550. Since time is of the essence in this solicitation, timely receipt of all the information called for in the Appendix D will expedite the decision process regarding the support of the proposed project.

APPLICATION PROCEDURES

Each proposal should contain the following elements:

Cover Sheet. A cover sheet is required in the form specified in Appendix A.

Abstract. Following the cover page there should be a one-page abstract summarizing the narrative section.

Narrative. A narrative description (not to exceed 15 double-spaced, nonreduced pages) of the proposed research in the following format:

- 3.1 *Identification of Problem.* A brief statement identifying the pertinent UNCSTD agenda items (see page 1.2) and indicating the specific focus of the study.
- 3.2 *Study Plan.* A detailed description of the procedures and methods to be followed in carrying out the study, including a description of how the existing information and research will be assessed and integrated.
- 3.3 *Facilities.* A description of the facilities available to the proposer for carrying out the proposed study.

3.4 Workshop. A description of the plan for identifying peers to participate in the "workshop phase" of the project. Names of individuals should be given if known and whether they will be paid anything beyond travel and per diem should be indicated.

Resumes. Resumes of the principal investigator or project manager and other key persons, including education, applicable experience and a list of relevant publications must be included.

Budget. An estimated budget is required, in the form called for in Appendix B. The budget page should be tabbed and labeled "budget."

Other Sources of Support. Each proposal must list all current research, in addition to the proposed project, to which the principal investigator(s) and other senior research personnel have committed a portion of their time, whether or not salary for the person involved is included in the budgets of the various projects. This information should include the titles and dates of current grants or contracts, the source of funds, annual budget levels and the man-months devoted to each project by each of the senior personnel. The proposal must also provide analogous information for all other proposed projects which are being considered by, or which will be submitted in the near future to other possible sponsors including Foundation programs. Concurrent submission of a proposal to other organizations will not prejudice its review by the Foundation. This section should be tabbed and labeled "Other Sources of Support."

EVALUATION OF PROPOSALS

Proposals will be reviewed in detail by one or more review panels that will include NSF Staff, experts from other U.S. Government agencies and external consultants. Proposals recommended for award by the review panel(s) may be subject to negotiation, and may result in minor revision of the proposal through consultation between the proposers and NSF. However, decisions on awards are primarily based upon the original proposal submitted. Final decision concerning the support will be made by the NSF.

The Foundation will select for award those proposals offering the greatest total value. The estimated cost will be considered in making this determination, but the primary basis for selec-

tion will be the following criteria, weighted approximately equally:

1. Significance of the proposed study for policy makers, including:
 - 1.1 The relative importance of the particular topic on which the study will focus;
 - 1.2 Likely importance of the study to the U.S. negotiating team and UNCSTD; and
 - 1.3 Evidence that presentation of the findings will be in a form understandable to and useful to policymakers.
2. Quality of the proposed study design, including:
 - 2.1 Evidence of a thorough knowledge of pertinent literature and related research;
 - 2.2 The adequacy of the design and methods for accomplishing the study; and
 - 2.3 Specificity and adequacy of the techniques proposed.
3. Likelihood of the success of the project as evidenced by:
 - 3.1 A comprehensive plan for organizing the study;
 - 3.2 The experience and past performance of the proposers; and
 - 3.3 The adequacy of the facilities and arrangements available for coordinating the study.

ADMINISTRATION

The award competition is administered by the Division of International Programs, Scientific, Technological and International Affairs Directorate, of the National Science Foundation. Due to considerations of equity, telephone calls and other contacts concerning the Solicitation are discouraged. Comments on the merit of particular proposals or research ideas will not be made. Persons inquiring as to the status of a proposal prior to formal notification of the Foundation's action thereon will be told only that the proposal is under consideration.

ACCESS TO PEER REVIEW INFORMATION

After final decisions have been announced, the Foundation will, upon request, inform the project

director of the reasons for its decision on a proposal. Verbatim copies of reviews, not including the identity of the reviewer, will be made available to respective project directors upon specific request.

RIGHTS TO PROPOSAL INFORMATION

If a proposal results in a Foundation award, the proposal becomes an integral part of the record of the transaction and may be made available to the public upon specific request. Information or materials which the Foundation and the awardee mutually agree to be of a privileged nature will be held in confidence to the extent permitted by law, including the "Freedom of Information Act" (Public Information Act of 1966 as amended 5 U.S.C. 552). Accordingly, privileged information (e.g. proprietary scientific information, salaries of key personnel, or other information which the

proposer desires to be treated in confidence) should be included in a separate statement bearing a legend similar to the following: "Following is (proprietary) (specify) information which (name of proposing organization) requests not be released to persons outside the Government, except for evaluation purposes." Without assuming any liability for inadvertent disclosure, NSF will seek to limit dissemination of such information to its employees and, where necessary, for evaluation of the proposal, to outside reviewers. In any case, NSF will not be limited in using similar information obtained without restriction from another source.

A proposal which does not result in an award will be retained by the Foundation for a limited time and will be released to the public only with the consent of the proposer or to the extent required by law. Proposals for research requiring security classification normally will not be considered.

APPENDIX A
PROPOSAL TO THE NATIONAL SCIENCE FOUNDATION
Cover Page

FOR CONSIDERATION BY NSF ORGANIZATIONAL UNIT (please specify):

PROGRAM ANNOUNCEMENT/SOLICITATION NO.:

CLOSING DATE (IF ANY):

NAME OF SUBMITTING ORGANIZATION TO WHOM AWARD SHOULD BE MADE (INCLUDE BRANCH/CAMPUS/OTHER COMPONENTS)

ADDRESS OR ORGANIZATION (INCLUDE ZIP CODE)

TITLE OF PROPOSED PROJECT

REQUESTED AMOUNT

PROPOSED DURATION

DESIRED STARTING DATE

PI/PD NAME AND SOCIAL SECURITY NO. (SSN)*

PI/PD PHONE NO.

PI/PD DEPARTMENT

PI/PD ORGANIZATION

ADDITIONAL PI/PD AND SSN*

ADDITIONAL PI/PD AND SSN*

ADDITIONAL PI/PD AND SSN*

ADDITIONAL PI/PD AND SSN*

FOR RENEWAL OR CONTINUING AWARD REQUEST, LIST
 PREVIOUS AWARD NO.:

REMARKS: *Submission of social security numbers is voluntary and will not affect the organization's eligibility for an award. However, they are an integral part of the NSF information system and assist in processing the proposal.

PRINCIPAL INVESTIGATOR/ PROJECT DIRECTOR	AUTHORIZED ORGANIZATIONAL REP.	OTHER ENDORSEMENT (optional)
NAME	NAME	NAME
SIGNATURE	SIGNATURE	SIGNATURE
TITLE	TITLE	TITLE
DATE	DATE	DATE

APPENDIX B **SUMMARY** **PROPOSAL BUDGET**

MICROFILMED FROM
BEST AVAILABLE COPY

ORGANIZATION AND ADDRESS		FOR NSF USE ONLY			
		PROPOSAL NO.			
PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR		DURATION (MONTHS)			
		PROPOSED		REVISED	
A. SENIOR PERSONNEL (LIST BY NAME; SHOW NUMBERS OF PEOPLE IN BRACKETS; SALARY AMOUNTS MAY BE LISTED ON SEPARATE SCHEDULE) GPM 205.10		NSF FUNDED MAN MONTHS CAL. ACAD. SUMR.		FUNDS REQUESTED BY PROPOSER	FUNDS GRANTED BY NSF (IF DIFFERENT)
NSF USE	1. P.I./P.D.			\$	\$
	2. CO P.I./P.D.			\$	\$
	3. CO P.I./P.D.			\$	\$
	4. CO P.I./P.D.			\$	\$
	5. CO P.I./P.D.			\$	\$
	11115 6. () ← SUBTOTALS A1 - A5 →			\$	\$
FACULTY AND OTHER SENIOR ASSOCIATES (ATTACH EXTRA SHEET IF NECESSARY)				\$	\$
	7.			\$	\$
	8.			\$	\$
	9.			\$	\$
	10.			\$	\$
	11.			\$	\$
11117	12. () ← SUBTOTALS A7 - A11 →			\$	\$
B. OTHER PERSONNEL (LIST NUMBERS IN BRACKETS)				\$	\$
11141	1. () POSTDOCTORAL ASSOCIATES			\$	\$
11149	2. () OTHER PROFESSIONALS			\$	\$
11150	3. () GRADUATE STUDENTS			\$	\$
11152	4. () UNDERGRADUATE STUDENTS			\$	\$
11182	5. () SECRETARIAL - CLERICAL			\$	\$
11183	6. () TECHNICAL, SHOP, OTHER			\$	\$
	TOTAL SALARIES AND WAGES (A+B)			\$	\$
11200	C. FRINGE BENEFITS (IF CHARGED AS DIRECT COSTS)			\$	\$
	TOTAL SALARIES, WAGES AND FRINGE BENEFITS (A+B+C)			\$	\$
D. EQUIPMENT (LIST ITEMS AND DOLLAR AMOUNTS FOR EACH ITEM)				\$	\$
23181	TOTAL EQUIPMENT			\$	\$
E. MATERIALS AND SUPPLIES				\$	\$
32630				\$	\$
F. DOMESTIC TRAVEL				\$	\$
42111				\$	\$
G. FOREIGN TRAVEL (LIST DESTINATION AND AMOUNT FOR EACH TRIP; GPM 731)				\$	\$
42112				\$	\$

SUMMARY PROPOSAL BUDGET

PROPOSAL NO. _____

52500	H. PUBLICATION COSTS/PAGE CHARGES	\$ _____	\$ _____
62315	I. COMPUTER (ADPE) SERVICES	\$ _____	\$ _____
	J. CONSULTANT SERVICES (IDENTIFY CONSULTANTS BY NAME AND AMOUNT; GPM 516)		
		\$ _____	\$ _____
	K. PARTICIPANT SUPPORT COSTS, IF ALLOWED BY PROGRAM GUIDE (ITEMIZE) GPM 518		
	1. STIPENDS	\$ _____	
	2. TRAVEL	\$ _____	
	3. SUBSISTENCE	\$ _____	
	4. OTHER - SPECIFY	\$ _____	
	5. TOTAL PARTICIPANT COSTS (K1 + K2 + K3 + K4)	\$ _____	\$ _____
	L. ALL OTHER DIRECT COSTS (List items and dollar amounts. Details of subcontracts, including work statements and budget, should be explained in full in proposal.)	\$ _____	
		\$ _____	
		\$ _____	
		\$ _____	
65001	TOTAL OTHER DIRECT COSTS	\$ _____	\$ _____
	M. TOTAL DIRECT COSTS (A THROUGH L)	\$ _____	\$ _____
	N. INDIRECT COSTS (Specify rate(s) and base(s) for on/off campus activity. Where both are involved, identify itemized costs included in on/off campus bases in remarks.)		
74100	TOTAL INDIRECT COSTS	\$ _____	\$ _____
	O. TOTAL DIRECT AND INDIRECT COSTS (M + N)	\$ _____	\$ _____
74500	P. LESS RESIDUAL FUNDS (If for further support of current project; GPM 252 and 253)	\$ _____	\$ _____
75000	Q. AMOUNT OF THIS REQUEST (O MINUS P)	\$ _____	\$ _____

REMARKS

NOTE: SIGNATURES REQUIRED ONLY FOR REVISED BUDGET (GPM 233). THIS IS REVISION NO. _____

SIGNATURE OF PRINCIPAL INVESTIGATOR/PROJECT DIRECTOR	DATE OF SIGNATURE	TYPED OR PRINTED NAME AND TITLE
SIGNATURE OF AUTHORIZED ORGANIZATIONAL REPRESENTATIVE	DATE OF SIGNATURE	TYPED OR PRINTED NAME AND TITLE

FOR NSF USE ONLY

INDIRECT COST RATE VERIFICATION			PROGRAM OFFICER APPROVAL				
Date Checked	Date of Rate Sheet	Signature					
Grant Number	Award No.	Institution	Organization	Fund / Act	Program	Object	
		Proposal Number	Dur.	Chg.	Award Date	Proposed Amount	Prop. Dur.

APPENDIX C

GUIDELINES FOR PREPARATION OF REPORTS

PAPER SIZE: Use only (8½R x 11") or (8" x 10½") size paper. Avoid the use of oversized pages such as foldout tables, blue-prints, computer printouts, etc. If such materials cannot be reduced to standard size pages without losing legibility, they should be subdivided into parts that will fit on standard size pages.

TITLE PAGE: Each report (or separately bound part of a report) should begin with a title page containing at least the following:

1. The full title (and subtitle) of the report.
2. The grant or contract number(s).
3. Date of the report.
4. The name of the principal investigator(s).
5. The name and address (including zip code) of the performing organization.
6. A disclaimer.

DISCLAIMER: A statement attributing the report to the research performer and not to the National Science Foundation should be included on the title page. A sample statement follows:

Any opinions, findings, conclusions or recommendations expressed in this publication are those of the author(s) and do not necessarily reflect the views of the National Science Foundation.

ABSTRACT: An informative abstract of approximately 175 words should be included. Preferably, the abstract should be on a separate page immediately preceding the first section of the report.

TABLE OF CONTENTS: A comprehensive, accurately numbered Table of Contents should be included.

PAGINATION: All pages in the report (or in each separately bound part of a report) should be consecutively numbered. All diagrams, table and appendices should be included in the numbering. The beginning page numbers of report sections, and other significant inclusions (appendices, figures, etc.) should appear in the Table of Contents.

LEGIBILITY: Be sure that report copies submitted to NSF are suitable for preparing legible photocopy and microfilm reproductions. Avoid the use of colored inks, half-tone photographs, small print, computer printouts, poor reproductions, and other features that would prohibit the reproduction of legible, useable copies.

REPRODUCTION RESTRICTIONS: Normally, publications produced under government grant or contract support may be freely reproduced by the government for its use. Therefore, unless special written permission has been obtained, reports should not be copyrighted, or contain any printed restriction concerning its reproduction or use. Further, if extracts of copyrighted material are to be included within a report (such as journal reprints or published illustrations), permission to include this material should be obtained beforehand from the copyright holder and notice of such permission included in the report.

SPECIAL PROBLEMS AND QUESTION: Any special problems or questions concerning the preparation of reports to be submitted to the RANN Program should be addressed to:

UN Conference Studies
Division of International Programs
National Science Foundation
1800 G Street, N.W.
Washington, D.C. 20550
Telephone: (202) 634-7930

APPENDIX D

First-Time Applicant and/or Performing Organization

If an applicant has not received a NSF grant/contract within the past 2 years, the applicant must submit the following information set forth in attachment (1). Said applicant must complete the attached "Assurance of Compliance Statement".

The information requested above should be submitted to:

SEA/STIA Branch, Room 201
Division of Grants and Contracts
National Science Foundation
Washington, D.C. 20550

Organization Management Information

Please forward the following information, documents, or statements: (Items 1 through 8 apply to all organizations. Remaining items apply as appropriate.)

1. The commonly-used name of your organization, together with the legal (registered) name. If the legal name of the organization is different from that normally used, or if there has been a recent change in name due to merger or other reasons, please clarify. If appropriate, identify and give relationship to any parent organizations, subsidiaries, predecessors, affiliated entities, etc. Any expected changes in your organization should also be noted.

2. An official or published statement of the major purposes of your organization and of the powers which have been granted to it to enter into contractual relationships and/or to accept grants (e.g., articles of incorporation, terms of reference, or by-laws). This should include a brief resume of your organization (when organized, number of permanent, full time and other personnel currently employed, and an organization chart).

3. A description of the policies and procedures of your organization for the management of such projects as those for which NSF assistance is being requested and for the management of Federal funds (see Chapter V of the NSF Grant Administration Manual). Indicate whether or not the financial aspects of such projects normally are audited either by your organization or by an external organization (specify name of external organization and submit a copy of latest audit report).

4. The name, title, address, telephone number, employment relationship to your organization, and other employment for the following personnel, and their alternates (see Glossary of Grant Manual for definitions):

- a. Authorized Institutional Representative.
- b. Business Officer.
- c. Chief Executive Officer. (NSF grant letters are normally addressed to the Chief Executive Officer unless another appropriate addressee, such as the Authorized Institutional Representative is designated by him.)
- d. Principal Investigator(s) or Project Director(s) and other Senior Personnel on the project for which financial assistance is being requested.

5. A representative listing of current or recent Federal awards to your organization indicating agency, award number, award amount, and title of project; as well as a current listing for the personnel cited under 4.d. above, including the amount of salary support and expiration date.

6. A signed copy of the enclosed Assurance of Compliance with NSF Regulations under Title VI of the Civil Rights Act of 1964, notwithstanding the fact that your organization may have submitted a comparable form to some other Federal Agency.

7. A copy of the most recent indirect cost agreement negotiated between your organization and some Federal agency or, if you lack such an agreement, an indirect cost rate proposal as described in paragraph 332 of the Grant Manual. (Please furnish this information separately and directly to the Division of Grants and Contracts' Management and Cost Analysis Office.)

8. Information concerning the policies and practices of your organization relative to the items listed below, including copies of pertinent administrative manuals or policy statements:

- a. Vacation and leave, including sabbatical leave, leave with pay, and "release time".
- b. Components of your employee benefits.
- c. Travel, including normal rates for transportation, subsistence and related expenses.
- d. Subcontracting with other organizations.
- e. Components of consulting fees paid and hourly rates.
- f. Patentable or copyrightable research and invention performed under Federal grants by or under the direction of the research or training staff.
- g. Insurance of equipment and vehicles.
- h. Professional appointments, including their terms (e.g., 9 or 12 months), and the effective date of appointment contracts
- i. Compensation rates and benefits for various classes of employees including the pay scale and types and rates of benefits.
- j. Compensation rates and benefits for research assistants and other supporting personnel.

9. For nonprofit organizations other than accredited institutions of higher education, a copy of the current Internal Revenue Service tax exemption letter which certifies the organizations not-for-profit status.

10. For organizations other than accredited institutions of higher education or State or local government agencies, a descriptive brochure, prospectus, or comparable document, bank references (if available), and certified statements of financial condition for at least the last 2 years.

11. For profit-making organizations, a signed copy of the enclosed Small Business Declaration indicating whether or not your organization is a small business concern.

12. The following additional information:

Small Business Declaration

The company named below ☐ IS, ☐ IS NOT, a small business concern. A small business concern by Government definition is a concern, including its affiliates, which is independently owned and operated, is not dominant in the field of operation in which it is quoting on Government solicitations and can further qualify under the criteria concerning number of employees, average annual receipts, or other criteria, as prescribed by the Small Business Administration. (See Code of Federal Regulations, Title 13, Part 121, as amended, which contains detailed industry definitions and related procedures.)

Dated _____

Name of Company

By _____

Chief Executive Officer or
his designee

NATIONAL SCIENCE FOUNDATION
WASHINGTON, D.C. 20550

ASSURANCE OF COMPLIANCE
with
NATIONAL SCIENCE FOUNDATION REGULATION
UNDER TITLE VI OF THE CIVIL RIGHTS ACT OF 1964

..... (hereinafter called the "Applicant")
(Name of Applicant)
HEREBY AGREES THAT it will comply with Title VI of the Civil Rights Act of 1964 (P.L. 88-352) and all requirements imposed by or pursuant to the Regulation of the National Science Foundation (45 CFR Part 611) issued pursuant to that title, to the end that, in accordance with Title VI of that Act and the Regulation, no person in the United States shall, on the ground of race, color, or national origin, be excluded from participation in, be denied the benefits of, or be otherwise subjected to discrimination under any program or activity for which the Applicant receives Federal financial assistance from the Foundation; and HEREBY GIVES ASSURANCE THAT it will immediately take any measures necessary to effectuate this agreement.

If any real property or structure thereon is provided or improved with the aid of Federal financial assistance extended to the Applicant by the Foundation, this assurance shall obligate the Applicant, or in the case of any transfer of such property, any transferee, for the period during which the real property or structure is used for a purpose for which the Federal financial assistance is extended or for another purpose involving the provision of similar services or benefits. If any personal property is so provided, this assurance shall obligate the Applicant for the period during which it retains ownership or possession of the property. In all other cases, this assurance shall obligate the Applicant for the period during which the Federal financial assistance is extended to it by the Foundation.

THIS ASSURANCE is given in consideration of and for the purpose of obtaining any and all Federal grants, loans, contracts, property, discounts or other Federal financial assistance extended after the date hereof to the Applicant by the Foundation, including installment payments after such date on account of applications for Federal financial assistance which were approved before such date. The Applicant recognizes and agrees that such Federal financial assistance will be extended in reliance on the representations and agreements made in this assurance, and that the United States shall have the right to seek judicial enforcement of this assurance. This assurance is binding on the Applicant, its successors, transferees, and assignees, and the person or persons whose signatures appear below are authorized to sign this assurance on behalf of the Applicant.

Dated.....

.....
(Applicant)

By.....

(President, Chairman of Board, or comparable authorized
official)

.....
(Applicant's mailing address)

90%